

DRAFT

Case Closure Matrix 9/11/00

Federal Reg (45 CFR 303.11) or Local Practice	Impact on Families	Comply Fed Regs?	Impact on Incentives	Impact on Automation	Impact on Staffing	Impact on Training	Impact on Facilities
(b)(1) No current support order & under \$500 arrearages or unenforceable under state law	Family stands to lose up to \$499 in non-TANF cases; State stands to lose up to \$250 in TANF cases	Yes	Minimal	Minimal	Minimal	Moderate	None
<i>Divergent Local Practice (DLP): Counties do not routinely close cases which fall under these criteria unless all resources exhausted</i>	<i>Family stands to collect up to \$499 in non-TANF cases; State stands to collect up to \$250 in TANF cases</i>	Yes	<i>Minimal</i>	<i>Minimal</i>	<i>Minimal</i>	<i>Minimal</i>	<i>None</i>

DRAFT

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(b)(2) NCP deceased & no potential action against estate	None	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							
(b)(3)(I) Paternity cannot be established because child is 18 & action is barred by S/L	None	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							

DRAFT

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(b)(3)(ii) Paternity cannot be established because putative father has been excluded & no other prospect is identifiable	None, if diligent efforts have been made	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: Counties vary in their diligent efforts to identify another putative father</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	Yes	<i>Minimal</i>	<i>Minimal</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>None</i>

DRAFT

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(b)(3)(iii) It is not in the best interest of the child to establish paternity in a case involving incest or rape, or where adoption proceedings are pending	No negative impact	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							
(b)(3)(iv) Identity of biodad is unknown & unascertainable even after diligent efforts, including at least one interview with CP	None, if diligent efforts have been made	Yes	Minimal	Minimal	Minimal	Minimal	

DRAFT

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<i>DLP: Counties vary in their diligent efforts to identify biodad</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	<i>Yes</i>	<i>Minimal</i>	<i>Minimal</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>None</i>

DRAFT

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(b)(4)(i) Unable to locate NCP after diligent efforts by the State for three years, if there is sufficient information to initiate automated locate (e.g. name & Social Security Number)	High	Yes	High	Minimal	Moderate	Moderate	None
<i>DLP: Some counties close; others vary in their diligent efforts</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	Yes	High	Minimal	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	None

DRAFT

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(b)(4)(ii) Unable to locate NCP after diligent efforts by the State over a one-year period when there is not sufficient information to initiate an automated locate effort	Very High	Yes	Moderate	High	High	High	Moderate
<i>DLP: N/A</i>							
(b)(5) NCP cannot pay during duration of child's minority due to institutionalization or incarceration (no parole) or permanent disability & no assets are available	Minimal	Yes	Minimal	Minimal	Minimal	Minimal	None

DRAFT

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<i>DLP: None</i>							
(b)(6) NCP is a citizen of & lives in a foreign country; does not work for the Feds or for a US company; no assets, & no reciprocity	Minimal	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							
(b)(7) Locate only	Minimal	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							
(b)(8) Non-welfare CP requests closure & no TANF arrears or medical support	None	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: Current state policy allows closure if TANF arrears are under \$500</i>	<i>None</i>	<i>At issue</i>	<i>Moderate</i>	<i>Minimal</i>	<i>Minimal</i>	<i>Minimal</i>	<i>None</i>
(b)(9) Good cause	None	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							

DRAFT

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(b)(10) Non-TANF case & IV-D agency unable to locate CP within 60 days	High	Yes	High	Moderate to High	Moderate to High	Moderate to High	None
<i>DLP: County practices vary</i>	<i>High, if diligent efforts have not been made; Low, if they have been made</i>	Yes	<i>Minimal</i>	<i>Minimal</i>	<i>Moderate to High, depending on levels of efforts</i>	<i>Moderate to High, depending on levels of efforts</i>	None

DRAFT

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(b)(11) Non-TANF CP not cooperating in next essential step	Moderate	Yes	Minimal	Minimal	Minimal	Minimal	None
DLP: None							

DRAFT

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(b)(12) Initiating state doesn't cooperate	High	Yes	Minimal	Minimal	Minimal	Minimal	None
<i>DLP: None</i>							
(c) Sixty-day notice	None	Yes	None	None	None	None	None
<i>DLP: None</i>							
(d) Agency must keep records of closed cases for three years	None	Yes	None	None	None	None	None
<i>DLP: Counties maintain records for 4+ years</i>	<i>None</i>	<i>Yes</i>	<i>None</i>	<i>None</i>	<i>None</i>	<i>None</i>	<i>None</i>

DRAFT

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MPP 12-302.1(I) (State Regulation) Reimbursement only cases may be closed if all the following circumstances exist: (1) Aid has terminated, (2) NCP is located, (3) NCP refuses to stipulate to reimbursement & (4) Court-ordered reimbursement cannot reasonably be expected to exceed \$1,000.		N/A	Minimal	None	Minimal	Minimal	None

DRAFT

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The CP has moved to another county or state, and 1. CP has applied for IV-D services in the other county or state; and 2. Contact was made with the other county or state IV-D agency to confirm that the CP has applied for services; or, to confirm that the support order and arrearages have been transferred.	None	Yes	Moderate	Minimal	Moderate	Moderate	None

DRAFT

Case Closure Matrix 9/11/00

Recommended Practice - (Note: All cases must be reviewed manually by a lead or supervisory staff member prior to closing.)
<i>Mandatory</i> 1. Close if no payments received within the last three years. 2. Close if unenforceable under state law & no payments received within the last three years.

DRAFT

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Recommended Practice - (Note: All cases must be reviewed manually by a lead or supervisory staff member prior to closing.)
<i>Mandatory</i> 1. Verify the NCP's death (e.g. with a death certificate, notice in paper, SSA death files, DMV, etc.) 2. Verify that there is no potential estate (e.g. local probate search, credit report, property search, contact with CP, etc.) 3. Send standard closing letter to CP re options for collecting death benefits for the minor child(ren). 4. Close the case after doing the above.
<i>Mandatory</i> Close the case.

DRAFT

Case Closure Matrix 9/11/00

**Recommended Practice - (Note:
All cases must be reviewed
manually by a lead or
supervisory staff member prior
to closing.)**

Mandatory

1. If CP is located: One year after signing attestation, establish contact with CP, which could be by a IV-D representative at time of IV-A renewal, and advise CP that the case will be closed unless the CP can give additional information to help identify the NCP.

2. If CP cannot be located: Case must remain open for one year.

In the event of loss of contact with CP, diligent efforts should include, at a minimum, DMV, MEDS & Postmaster. (Minority opinion suggests an additional attempt through the DMV, MEDS & Postmaster at the end of the sixty days.)

DRAFT

Case Closure Matrix 9/11/00

**Recommended Practice - (Note:
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manually by a lead or
supervisory staff member prior
to closing.)**

Mandatory
1. If CP alleges rape (exclusive of
Statutory rape) or incest, she
should be referred to IV-A
agency; if good cause is not
claimed, or is denied, the case
remains open.
2. If adoption proceedings are
verified, close the case.

Mandatory
1. One year after signing
attestation, establish contact with
CP, which could be by a IV-D
representative at time of IV-A
renewal, and advise CP that the
case will be closed unless the CP
can give additional information to
help identify the NCP. If the CP
provides leads, diligent efforts to
pursue leads must be made.
2. CP must be given information
on how to reopen case, if new
information becomes available.

DRAFT

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DRAFT

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supervisory staff member prior
to closing.)**

Mandatory
1. Close the case after diligent efforts have been made.
2. Diligent efforts should include periodic locate efforts (e.g. quarterly) utilizing: (1) private locate tools (e.g. Choice Point, Equifax, Lexus/Nexus, Merlin), (2) State tools (e.g. DMV, CPLS, CLETS, ParoleLEADS, MEDS), (3) Local tools (e.g. internet, Voter Registration), (4) Additional resources (e.g. union letters, wage verification, Postmaster, property information, Secretary of State, Board of Equalization, Dept. of Consumer Affairs).
3. Closed cases should be referred to State Only Locate and Enforcement Program (SOLEP).

DRAFT

Case Closure Matrix 9/11/00

Recommended Practice - (Note: All cases must be reviewed manually by a lead or supervisory staff member prior to closing.)
<i>Mandatory Define "name" as a first and last name, at a minimum. Diligent efforts shall include, at a minimum: 1. Contact the CP at least once during the one-year period to ask for information which might identify and locate the NCP 2. Make every reasonable effort to obtain the SSN of the NCP, using all appropriate sources, such as the DOJ, DMV, credit reporting agencies, and FPLS to assist in identifying missing or incomplete SSNs Close the case, if the above steps have been futile.</i>
<i>Mandatory Close the case.</i>

DRAFT

Case Closure Matrix 9/11/00

Recommended Practice - (Note: All cases must be reviewed manually by a lead or supervisory staff member prior to closing.)
<i>Mandatory Close the case.</i>
<i>Mandatory Close the case after performing the locate</i>
<i>Follow state practice below, if allowed by Feds</i>
<i>Close the case, if allowed by Feds, so long as no medical support & TANF arrears are under \$500</i>
<i>Mandatory. Close the case.</i>

DRAFT

Case Closure Matrix 9/11/00

**Recommended Practice - (Note:
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manually by a lead or
supervisory staff member prior
to closing.)**

Mandatory

1. In the event of undistributed collections, diligent efforts should include locate efforts (e.g. quarterly, for a minimum of six months) utilizing, at a minimum: CPLS, Credit Bureau Header Check, DMV, MEDS & Postmaster.

2. In the event of loss of contact and there are no undistributed collections, diligent efforts should include, at a minimum, DMV, MEDS & Postmaster. (Minority opinion suggests an additional attempt through the DMV, MEDS & Postmaster at the end of the sixty days).

DRAFT

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manually by a lead or
supervisory staff member prior
to closing.)**

Mandatory

1. Non cooperation includes:

*Failure to provide essential
information to take next case
action; Continued practice of
taking direct payments after a
minimum of one warning; Failure
to attend hearings; Refusal to
sign forms; Refusal to report
private attorney actions.*

2. Before closing for any of the
above infractions, the infraction(s)
must be documented and the CP
must have received a minimum of
one warning. (We recommend
that a procedure be put in place
to allow the CP access to a fair
hearing, {if Case Closure qualifies
for fair hearing}, or an
ombudsman, or some other
complaint resolution process, if
the case is going to be closed
under this regulation.)

3. Close the case.

DRAFT

Case Closure Matrix 9/11/00

Recommended Practice - (Note: All cases must be reviewed manually by a lead or supervisory staff member prior to closing.)
<i>Mandatory</i> 1. If initiating state does not respond within 30 days, send out a second request. 2. If there is no response at the end of a second 30 days, send out a 60 day closure notice. 3. At the time the closing notice is sent out, contact the initiating state's Central Registry for assistance. 4. Close the case.
<i>Mandatory</i> Follow Federal Regulations Close the case
<i>Mandatory</i> Records should be electronically archived indefinitely.

DRAFT

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**Recommended Practice - (Note:
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manually by a lead or
supervisory staff member prior
to closing.)**

*Develop a policy to close
retroactive child support only
cases under existing Federal
closure criteria*

DRAFT

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**Recommended Practice - (Note:
All cases must be reviewed
manually by a lead or
supervisory staff member prior
to closing.)**

*Mandatory
Close interstate cases
Intrastate cases no
recommendation is made pending
DCT procedure revisions.*